

R10 InfoPage

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Q&D - Office of Management Programs - Fiscal Management Planning Unit Records Disposition Schedules

SERIES DESCRIPTION	DISPOSITION	NARA NUMBER
Link to the common	Link to your full printable	Link to Printable
Housekeeping Schedules	OMP - FMPU	Intuitive Folders
that may not be included in this table	File Plan Spreadsheet	List
<p>Accountable Officers' Files: Contains original or ribbon copy of accountable officers' accounts maintained in the agency for site audit by GAO auditors, consisting of statements of transactions, statements of accountability, collection schedules, collection vouchers, disbursement schedules, disbursement vouchers, and all other schedules and vouchers or documents used as schedules or vouchers, exclusive of commercial passenger transportation and freight records and payroll records. These records document only the basic financial transaction, money received and money paid out or deposited in the course of operating the Agency.</p> <p>Item a: Site audit records as listed in guidance, or their equivalents</p> <p>Item b: Memorandum copies of accountable officers' returns Includes statements of transactions and accountability, all supporting vouchers, schedules, and related documents not covered elsewhere in this schedule, excluding freight records and payroll records covered elsewhere.</p> <p>Function: 402278</p>	<p>Item a: Disposable Destroy 6 years and 3 months after period covered by the account.</p> <p>Item b: Disposable Destroy when 1 year old.</p>	<p>GRS 6/1</p> <p>Status: Final, 02/14/2007</p>
<p>BUDGET REPORTS FILES: Contains reports generated and received throughout the budget process, including computer printouts, spreadsheets, and copies of the Agency Budget submitted to the Administrator, the Office of Management and Budget (OMB), and the President. Also includes periodic reports on the status of appropriation accounts and apportionment and documents authorizing new or revised budget allowances to Agency programs.</p> <p>Item a: Annual report</p> <p>Item b: All other reports</p> <p>Function: 402-125 040</p>	<p>Item a: Disposable Close inactive records at end of fiscal year. Destroy 3 years after file closure.</p> <p>Item b: Disposable Close inactive records at end of fiscal year. Destroy 3 years after file closure.</p>	<p>GRS 5/3</p> <p>Status: Final, 02/01/2007</p>
<p>COST RECOVERY RECORDS: Site-specific records relating to activities undertaken to secure response costs from responsible parties at Superfund remedial and removal sites and oil spills. Records used for cost recovery actions include compilations of documentation that describe technical aspects of the response action and cost accounting information necessary to document the costs incurred to</p>	<p>Item a: Disposable Close inactive records when cost recovery action is completed. Destroy 30 years after file closure.</p>	<p>N1-412-06-18</p> <p>Status: Final, 10/31/2007</p>

<p>(SPUR), computation schedules supporting Agency indirect costs, categorical cost summaries, contractor cost information, cost reports and invoices, treasury schedules, field expenses, letter reports/Pre-FY86 cost vouchers, payment records, payroll summaries, Federal employee timesheets, travel authorizations and vouchers, work assignments, cost summary package, cost recovery deliverables, closeout memorandum, and the 10 point document. Also includes work performance documents such as work assignments, statements of work, interagency and cooperative agreements, field notes, technical direction documents (TDDs), lab reports, monthly reports, daily activity reports, affidavits and acknowledgments of completion.</p> <p>Item a: Record copy</p> <p>Function: 108-025-08 024</p>			
<p>INPUT AND SOURCE RECORDS - NONELECTRONIC:</p> <p>This item covers input and source records used to create, update, or modify electronic records when the electronic records are retained to meet recordkeeping requirements and are covered by a NARA-approved schedule.</p> <p>Item a(1): Hard copy documents that NARA has specifically designated as permanent records that must be transferred to NARA in hard copy format, even if records have been copied/converted to an electronic format</p> <p>Includes such records as hard copy forms used for data input as well as hard copy documents that are scanned into an electronic recordkeeping system (e.g., correspondence, reports, still pictures, maps, etc.).</p> <p>Item a(2): Hard copy records previously approved as permanent that are converted to electronic records where the electronic records do not meet NARA's transfer standards for permanent electronic records in effect at the time of conversion</p> <p>Includes such records as hard copy forms used for data input as well as hard copy documents that are scanned into an electronic recordkeeping system (e.g., correspondence, reports, still pictures, maps, etc.).</p> <p>Item a(3): Hard copy documents that contain information that is not or cannot be captured in the electronic version of the records (e.g., certain handwritten annotations)</p> <p>Includes such records as hard copy forms used for data input as well as hard copy documents that are scanned into an electronic recordkeeping system (e.g., correspondence, reports, still pictures, maps, etc.).</p> <p>Item a(4): Hard copy documents other than those covered by items a(1) - a(3) above</p> <p>Item b: Electronic records entered into the system during an update process, and not required for audit and legal purposes</p> <p>Excludes electronic records as noted in item c.</p> <p>Item c: Electronic records received from another agency and used as input/source records by the receiving agency</p> <p>Excludes records produced by another agency under the terms of an interagency agreement, or records created by another agency in response to the specific information needs of the receiving agency.</p> <p>Item d: Computer files or records containing uncalibrated and unvalidated digital or analog data collected during observation or measurement activities or research and development programs and used as input for a digital master file or</p>	<p>Item a(1):Permanent Transfer to NARA in accordance with previously approved schedule.</p> <p>Item a(2):Permanent Transfer to NARA in accordance with previously approved schedule.</p> <p>Item a(3):Varies Apply previously approved schedule.</p> <p>Item a(4):Disposable Destroy after the information has been converted to an electronic medium and verified, when no longer needed for legal or audit purposes or to support the reconstruction of, or serve as a backup to, the electronic records, or 60 days after NARA has been provided the notification required by 36 CFR 1228.31(b)(1)(i), whichever is later.</p> <p>Item b:Disposable Delete when data have been entered into the master file or database and verified, or when no longer required to support reconstruction of, or serve as backup to, a master file or database, whichever is later.</p> <p>Item c:Disposable Delete when data have been entered into the master file or database and verified, or when no longer needed to support reconstruction of, or serve as backup to, the master file or database, whichever is later.</p> <p>Item d:Disposable Delete after the necessary data have been incorporated into a master file.</p>	<p>GRS 20/2</p> <p>Status: Final, 04/30/2008</p>	

<p>INTEGRATED FINANCIAL MANAGEMENT SYSTEM (IFMS): The Integrated Financial Management System is under the control of the Office of the Chief Financial Officer, Office of Financial Management, Financial Systems Staff. Records related to Superfund cost recovery should be handled according to the disposition instructions for EPA 024.</p> <p>The predecessor system, Financial Management System (FMS) is scheduled as EPA 053.</p> <p>Function: 402-124 054</p>	<p>This schedule has been removed by NRMP.</p>	<p>"</p>
<p>OFFICE ADMINISTRATIVE FILES: Records accumulated by individual offices that relate to the internal administration or housekeeping activities of the office rather than the functions for which the office exists. In general, these records relate to the office organization, staffing, procedures and communications, including facsimile machine and facility logs; the expenditure of funds, including budget papers; day-to-day administration of office personnel, including training and travel; supplies, equipment, services; routine, administrative meeting arrangements; and the use of office space and utilities. They may include copies of internal activity and workload reports (including work progress, statistical and narrative reports which are prepared in the office and forwarded to higher levels), contact lists, and other materials that do not serve as unique documentation of the programs of the office.</p> <p>Excludes: Record copies of organizational charts, functional statements and related records that document the essential organization, staffing and procedures of EPA that are scheduled separately. (ADMI 110) (Formerly BUDG 596)</p> <p>Item a: Record copy</p> <p>Function: 401 110</p>	<p>Item a: Disposable Destroy when 2 yrs. old.</p>	<p>GRS 23/1</p> <p>Status: Final, 1/31/2009</p>
<p>PAY FOLDERS: <u>Case files</u>. Consists of individual employee folders & payroll allotments, included are SF-50, W-4, SF-2809, SF-176, SF-1192, SF-1198, SF-1199A, & State tax forms. (PAYR 283A)</p> <p>Function: 402-126 283</p>	<p>This schedule has been removed by NRMP.</p>	<p>"</p>
<p>PAYROLL SYSTEM REPORTS: <u>Reports</u>. Contains payroll system reports including: a. Error reports, ticklers, system operation reports; b. Reports & data used for agency workload and/or personnel management purposes; c. Reports providing fiscal information on agency payroll. (PAYR 284A)</p> <p>Function: 402-126 284</p>	<p>This schedule has been removed by NRMP.</p>	<p>"</p>
<p>PROGRAM DEVELOPMENT FILES: Consists of records related to the development of environmental and administrative policies and programs. Records consist of correspondence, briefing books and papers, issue papers and reports relative to policy, strategy, program control, research priorities, legislative priorities, published and unpublished directives and policy guidance documents, and related records that document the development of environmental programs, program priorities and objectives, program evaluation and planning, and similar</p>	<p>Item a(1): Permanent Close inactive records at the end of the activity, project, or topic. Transfer to the National Archives 20 years after file closure.</p> <p>Item a(2): Permanent Close inactive records at the end of the activity, project, or topic. Transfer to the National Archives 5 years after file closure, with any related documentation and external</p>	<p>N1-412-06-29</p> <p>Status: Final, 1/31/2011</p>

<p>Item a(3): Electronic copy of records transferred to the National Archives</p> <p>Function: 304-104-02 145</p>	<p>Item a(3):Disposable Close file upon transfer to the National Archives.</p> <p>Delete after electronic record copy is successfully transferred to the National Archives.</p>	<p>N1-412-06-6/2</p> <p>Status: Final, 12/31/2009</p>
<p>PROGRAM MANAGEMENT FILES: Includes records which relate to the on-going management of programs and routine projects within programs. Types of files include both mission and operational programs and may be maintained by one or more organizational units. Specific types of records include correspondence; memoranda; staff meeting records such as agendas, background papers, attendance lists, and meeting minutes or summaries; routine office procedures; and reports relating to general policy and program matters, oversight reviews, interagency activity, research and other similar materials. Also includes project control files showing assignments, progress, and completion of projects.</p> <p>Excludes: General administrative and routine housekeeping records (EPA 110) and organization and program development records (EPA 145).</p> <p>Item b: Other than senior officials</p> <p>Function: 301-093 006</p>	<p>Item b: Disposable Close inactive records at end of calendar year.</p> <p>Destroy 5 years after file closure.</p>	<p>N1-412-06-6/2</p> <p>Status: Final, 12/31/2009</p>
<p>RESPONSE TO AUDIT, EVALUATION, AND INVESTIGATION: Includes records used to document and track the Agency's response to audit, evaluation, and investigation processes conducted internally (e.g., by Inspector General (IG)), or externally (e.g., by Government Accountability Office (GAO)). Audits and evaluations may be initiated by EPA, by an outside agency with oversight over EPA, or requested by Congress. Records relating to these special projects include controlled and follow-through correspondence, conference materials, issue and position papers, responses, work plans, studies, corrective actions, tracking/milestones and related records.</p> <p>Records related to the Federal Managers Financial Integrity Act (FMFIA) include: documentation of internal control objectives and techniques, work plans, status reports on conduct of internal control reviews, correction of reported material weaknesses, and related materials such as corrective action strategy, audit follow-up, annual assurance letter, and internal control review reports and supporting documentation.</p> <p>Item a: Record copy</p> <p>Function: 301-091 082</p>	<p>Item a:Disposable Close inactive records when corrective action is complete.</p> <p>Destroy 10 years after file closure.</p>	<p>N1-412-07-1/2</p> <p>Status: Final, 04/30/2008</p>
<p>Travel: Includes travel records used to account for employees' time and expense while on travel status, and to request reimbursement or balance due on travel funds authorized. Records consist of travel authorizations, travel advance applications, transportation requests, travel vouchers, reimbursement claims, and other expense receipts and related documents.</p> <p>Item e: Original receipts Disposable Destroy when 6 years and 3 months old.</p> <p>Item f: Documentation not processed electronically</p>	<p>Item e: Original receipts Disposable Destroy when 6 years and 3 months old.</p> <p>Item f: Documentation not processed electronically Disposable Destroy when 10 years old.</p>	<p>N1-412-06-22</p> <p>Status: Final, 08/31/2009</p>

Function: 401-122 028 EPA NON-RECORDS: Consists of nonrecord copies. Nonrecord materials are those Agency-owned informational materials that do not meet the statutory definition of records in 44 U.S.C. Section 3301 or that have been excluded from coverage by that definition. Examples of Non-Records: Technical Reference Materials, News Clippings, Convenience Copies, Stocks of Forms, Publications, and Processed Documents, Materials Not Appropriate for Preservation, Library or Museum Materials, Working Papers and Drafts. Function: 0 008 Link to the Housekeeping Schedules	Item a: Disposable Close when obsolete, superseded or no longer needed for reference. Destroy immediately after file closure.	NOT APPLICABLE Status: Final, 02/12/2007

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